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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Yukio HONKAWA, *et al.*
Serial No.: 09/997,306
Filed: November 28, 2001
For: SEMICONDUCTOR LASER
DEVICE AND METHOD FOR
FABRICATING SAME
Art Unit: 2811
Examiner: Not Yet Assigned
Attorney Docket: 6635/60519 (07742-23)

**CERTIFICATE OF
MAILING/TRANSMISSION
(37 C.F.R. § 1.8A)**

I hereby certify that this correspondence is, on
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April 10, 2002

Diana R. Castillo

**INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §1.56 AND §§1.97-1.98**

Commissioner for Patents
Washington, D.C. 20231

Sir:

The citations listed on the enclosed PTO-1449 Form are submitted under 37
C.F.R. §§1.97 and 1.98, and in compliance with the duty of disclosure as defined in 37 C.F.R.
§1.56. The Examiner is requested to make these citations officially of record in the application.
This Information Disclosure Statement is being submitted before receipt of the first Office
Action for the above-identified application. Consequently, pursuant to 37 C.F.R. §1.97, no fee
or certification is required. However, in the event that the first Office Action was mailed before
the mailing of this Statement, the Commissioner is hereby authorized to charge the fee set forth
in 37 C.F.R. §1.17(p) to deposit account No. 13-0201 to cover this fee.

Citation B1 is in the Japanese Language. Applicants do not have an English
translation of Citation B1. However, an-English language abstract is attached to the front of the
citation.

SANFRANCISCO 4067097v1

USSN 09/997,306

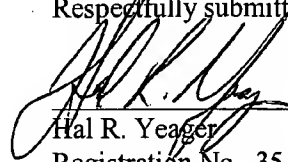
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This Information Disclosure Statement Under 37 C.F.R. §1.56 is not to be construed as a representation that any of the listed citations establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of any claim in the above-identified application. Additionally, this Information Disclosure Statement is not to be construed as a representation that a further search of the art has been made by Applicants, or that additional information relevant to the examination of this application does not exist unbeknownst to Applicants.

April 9, 2002

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Respectfully submitted,



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LIST OF PRIOR ART DOCUMENT

- (1) JP Patent Laid-Open Pub. No.8(1996)-288589(abstract attached)
(page 1, line 24 in the specification)